

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

Changes to Risk Register since last update (August 2025)

| Key Corporate Risk | Changes |
|--|--|
| KCR1 Financial Pressures | No changes |
| KCR2 Governance | New risk detail, new implications, new controls, amended actions |
| KCR3 Effective and Strong Partnerships | New risk detail, addition of new controls |
| KCR4 Changing Demographics | Amended action detail and date |
| KCR5 Safeguarding | No changes |
| KCR6 Health and Wellbeing | No changes |
| KCR7 Capital Programme | No changes |
| KCR8 Communities | No changes |
| KCR9 Workforce (incl Health & Safety) | Amended action dates |
| KCR10 External Market Conditions | No changes |
| KCR11 Major Incidents | No changes |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 1 FINANCIAL PRESSURES: The ongoing government funding cuts and the impact of the cost of living crisis will continue to have an impact on council services. Over the course of the last 10 years there has been a substantial reduction in government grants leading to significant financial savings delivered. The council needs a structured and strategic approach to deliver the savings in order to ensure that any change to service provision is aligned to the council's key priorities. In addition, other partner organisations are facing financial pressures that impact on the council.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|--|------------------|--------------|--|----------------|------------|---------------------|---|
| Reduction in government grants leading to the necessity to make savings | Potential major implications on service delivery | Highly Probable | Major (21) | Regular budget monitoring Effective medium term planning and forecasting | Probable | Major (20) | Unchanged | RISK OWNER: Debbie Mitchell Development of Financial Strategy for 2026/27 (Debbie Mitchell 31/01/2026) |
| Election of new government results in changes to local government settlement | Impacts on vulnerable people Spending exceeds available budget | | | Chief finance officer statutory assessment of balanced budget | | | | NEW Respond to Fair Funding Review consultation (Debbie Mitchell 15/08/2025) |
| Increased service demand and costs (for example an aging population). | Lack of long term funding announcements from central government creates uncertainty which hinders long term financial planning | | | Regular communications on budget strategy and options with senior management and politicians | | | | |
| Financial pressures on other partners that impact on the council | Lack of long term funding announcements from central government | | | Transformation team developing programme of work to manage future demand and increase efficiency | | | | |
| Uncertainty around future funding | May impact on staff retention as it creates uncertainty for temporary posts funded by external funding | | | Skilled and resourced finance and procurement service, supported by managers with financial awareness. | | | | |
| Lasting financial impact of the pandemic on the economy as a whole | An economic downturn will affect the Council's main sources of funding; reducing business rates income if premises are vacant and reducing council tax income if more individuals require support due to unemployment. | | | Climate change mitigation and adaptation programme Financial Strategy approved. | | | | |
| Increased severity and frequency of climate hazard events (e.g. flooding) | | | | Cost control measures are in place including ceasing non-essential spend | | | | |
| Inflation falls slower than anticipated or starts to rise again | | | | Monthly cost control panels are held. | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|--|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| <p>Increased risk of UK recession</p> <p>General cost pressures due to impact of Ukraine conflict.</p> <p>UK Bank of England Interest rate expected to remain high</p> | <p>Increased cost of responding to emergency situations, as a result of climate change, and impact on service delivery.</p> <p>Increased interest rates and the continued impact of inflation will reduce the overall funding available to the Council and may therefore lead to reductions in service levels in some areas.</p> <p>Council is unable to set a balanced budget or is required to request exceptional financial support from central government</p> | Red | Red | Corporate Improvement Framework has been established and includes training around financial literacy where appropriate/required. | Orange | Orange | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 2 GOVERNANCE: Failure to ensure key governance frameworks are fit for purpose. With the current scale and pace of transformation taking place throughout the organisation it is now more important than ever that the council ensures that its key governance frameworks are strong particularly those around statutory compliance including information governance and transparency.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|---|------------------|--------------|---|----------------|------------|---|--|
| Increased interactions in relation to FOIA and transparency, and failures to adhere to statutory timescales for responses. | Increases in decision or enforcement notices or other penalties including monetary fines by regulators such as Information Commissioner | Probable | Major (20) | ICT and ICT security policies and procedures such as Electronic Communication Policy ICT security systems in place | Possible | Major (19) | Revisions to and new additions for risk details, implications and controls | RISK OWNER: Bryn Roberts Information and mitigation has been added in relation to prospective change to Cyber Assessment Frameworks and cyber intrusion. |
| Failure to comply with data protection and privacy legislation | Potential legal action including criminal action against the council and/or individual(s) if knowing and reckless | | | breaches of data protection legislation occur, and/or failing to comply with regulator audit, inspection or other notices | | | | |
| Failure to comply with regulator audit or inspection actions | | | | Regular ICT System audit process in place. | | | | |
| Failure to have and adhere to consistent and effective records management based on established standards, codes of practice etc | Reduced or removed ability for the council to use covert surveillance. Potential increased costs to the council if there are successful individual claims for compensation as a result of breaches of data protection and privacy legislation. | | | Sessions with CMT and DMT's - raise awareness of digital/cyber risk and security requirements. | | | | |
| Increased resource, capacity and workload demands resulting from any or all the above | Impact on the end user/customer | | | Provision and ongoing review of information governance policies and procedures including regular all staff or targeted communications | | | | |
| Transition to new Cyber Assessment Frameworks (CAF) for NHS Data Security and Protection Toolkit (DSPT) and PSN | Reduced confidence in the council's ability to deal with FOIA/EIR and other information requests and in | | | Mandatory all staff awareness training (new and ongoing) for data protection and information security | | | | |
| | | | | Provision of role specific training eg covert surveillance, information asset etc | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|--|------------------|--------------|---|----------------|------------|---------------------|------------------------|
| Increasing risk of adverse cyber event. | <p>turn, its openness and transparency.</p> <p>Adverse media/ social media coverage</p> <p>Reputational impact leading to loss of required accreditations such as NHS, etc</p> <p>Impact on records being available for future historical and research purposes</p> <p>Operational disruption if restrictions or removal of NHS system access and/or NHS data use, due to non-compliance with CAF</p> <p>An adverse cyber event would likely result in significant disruption to key Council services, with short-, medium-, and long-term implications.</p> | High | High | <p>Governance, Risk and Assurance Group (GRAG) covers a wide range of governance issues</p> <p>Regular Internal Audit reviews of information governance including physical data security for the Council.</p> <p>Regular monitoring reports to Audit & Governance committee and Corporate management Team and/or appropriate Scrutiny Committee(s)</p> <p>Provision of information and data on York Open Data and the council website</p> <p>Regular review of publication scheme and transparency code legislation to ensure ongoing compliance</p> <p>Ongoing management of data architecture to provide de-personalised data to open data platform</p> <p>Public Protection Annual Control Strategy</p> <p>Additional resource, training and improved processes to</p> | High | High | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| | | | | <p>deal with FOIA/EIR and other information requests</p> <p>Officer and delegated decisions are published as necessary to ensure transparency</p> <p>Maintaining the strengthened relationship between Senior Information Risk Officer (SIRO)/ Director of Governance and the Caldicott Guardian</p> <p>Ongoing review of Council constitution.</p> <p>New induction programme for elected members including training in respect of the Code of Conduct and conflict of interests.</p> <p>Members now supplied with standard ICT equipment which will help to ensure appropriate information security and Information Governance.</p> <p>Conduct CAF gap analysis and develop improvement plan.</p> <p>Allocate clear ownership for CAF objectives across the council/IG and ICT</p> | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|---|----------------|------------|---------------------|------------------------|
| | | | | <p>Engage suppliers/contractors to ensure compliance with CAF-aligned requirements</p> <p>Continued update of the Council's firewall and countermeasures, together with regular staff communication, exercising of BCPs, and mutual aid arrangements.</p> | | | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 3 EFFECTIVE AND STRONG PARTNERSHIPS: Failure to ensure partnership arrangements are fit for purpose to effectively deliver outcomes. In order to continue to deliver good outcomes and services, the council will have to enter into partnerships with a multitude of different organisations whether they are public, third sector or commercial entities. The arrangements for partnership working need to be clear and understood by partners to ensure they deliver the best possible outcomes.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|---|------------------|--------------|---|----------------|---------------|---------------------|---|
| <p>Failure to effectively monitor and manage partnerships</p> <p>Partner (especially NHS, Academies) financial pressures may affect outcomes for residents</p> <p>Unilateral decisions made by key partners may affect other partners' budgets or services</p> <p>Priorities of the Mayor does not align with council /or city priorities</p> <p>Financial pressure on York and Scarborough Teaching Hospitals NHS Foundation Trust (YTHFT) and the Humber and North Yorkshire Health and Care Partnership ICS Board which may have worsened further due to Covid-19 and the cost of living crisis and ongoing demand on services</p> | <p>Key partnerships fail to deliver or break down</p> <p>Failure to utilise commitment to the city, reduced impact overall impact</p> <p>Misalignment of organisations' ambitions and direction of travel</p> <p>Ability to deliver transformation priorities undermined</p> <p>Delays in funding lead to missed opportunities</p> <p>Adverse impact on service delivery</p> <p>Funding implications</p> <p>Reputational impact</p> | Probable | Major (20) | <p>Account management approach to monitoring key partnerships. CMT identified the 100 organisations who have the most potential to influence or affect organizational and city aims and priority outcomes for residents, and have established a partner programme to continue to engage them. Directors and Chief Operating Officer lead on specific relationships with meeting scheduled arranged to meet partner requirements.</p> <p>City Leaders groups meet regularly with an annual programme shared in advance, and groups terms of reference and membership published on Outside Bodies. Thematic and functional partner groups meet regularly to discuss key issues and identify areas to work together on.</p> <p>Place Making Board established to provide strategic steer for city issues that intersect with region/national policy challenges and meets every six months to discuss key challenges, chaired by Leader, with updates provided by strategic partners.</p> | Possible | Moderate (14) | No change | <p>RISK OWNERS: Claire Foale</p> <p>No current actions, ongoing monitoring of current controls</p> |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| Cumulative impacts of the pandemic and cost of living crisis and a reduction in volunteering on voluntary and community sector | Financial pressure remains with ICS partners currently undergoing a restructure set against a new DHSC-led “blueprint” with impacts on council not yet understood | Orange | Orange | <p>The Integrated Care System has a strategy in place that aligns with the Joint Health & Wellbeing Board . The York Place Board will oversee the delivery of this at a Place level.</p> <p>Financial pressure remains, with a newly established joint Commissioning Group chaired by the Director of Public Health however the Council, ICS and the Acute Trust work together to reduce delays increase flow to reduce escalation beds and increase staffing.</p> <p>Arrangements with the MCA inform priorities, with the Strategy and Partnerships team maintaining a central coordination role, and the approved “pipeline” and subsequent response (York’s Growth Ambitions) to Local Growth Plan confirming areas of focus. The MCA are developing a series of consultative sessions with different officer groups to help ensure MCA Committee decisions include thorough briefings.</p> <p>Internal co-ordination through Policy Network who meet regularly to understand and inform areas of work and what is happening across agendas (including overall monitoring of arrangements with voluntary & community sector as part of prevention and early help work)</p> <p>Commissioners and the NHS place directors are working closely to deliver</p> | Yellow | Yellow | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| | | Orange | Orange | <p>a number of key joint services across health and social care.</p> <p>Joint project group with NHS/ICB/Council to develop integrated neighbourhood team model and review assets.</p> <p>The York Health and Care Board is now in place chaired by Ian Floyd, which supports an integrated decision-making approach across organisations</p> <p>Sustainability Leaders Group meets quarterly (in person and online) to discuss climate action, funding opportunities and potential joint projects including active travel planning and energy partnerships.</p> <p>York Economic Partnership meets quarterly to explore opportunities for the city, and continue discussions initiated at MCA Business Board.</p> <p>York and North Yorkshire Business Intelligence group comprised of business representative organisations sharing issues and intelligence from their networks meets monthly.</p> | Yellow | Yellow | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 4 CHANGING DEMOGRAPHICS: Inability to meet statutory duties due to changes in demographics. Over time, the demographic makeup of York's population is shifting due to a number of factors including new housing, inward migration, and natural population shifts due to birth and death patterns. A number of these changes, for instance the increasing number of people living with health and care needs, bring with them significant challenges particularly in the delivery of social care and public health services. The council needs to ensure that community impacts are planned for and resourced.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|--|------------------|--------------|--|----------------|------------|---------------------|---|
| Development and regeneration makes York more desirable and accessible to residents, students and business, resulting in increasing inward migration to York. | The impact of additional demands may cause significant financial and delivery challenges in meeting statutory duties, such as the cost of care provision, school placements, SEND provision, mental health care and support, adult social care and demand for environmental services (eg waste collection) | Probable | Major (20) | <p>Place planning strategy to ensure adequate supply of school places</p> <p>Local area working structures in frontline services, including Early intervention initiatives and neighbourhood working</p> <p>Strengths based assessment and care management reviews to see to reduce and delay needs for social care support and promote greater independence.</p> <p>Advice and Information Strategy providing residents with direct access to support and services, to enable sign posting and self help.</p> <p>Closer integrated work with NHS commissioning partners through the place partnership</p> <p>York Skills Strategy</p> <p>Redesign and implementation of new arrangements for early help and prevention, for instance the RAISE York programme, children's social care reform, integrated neighbourhood working e.g. Mental Health and Frailty Hub</p> | Possible | Major (19) | No change | RISK OWNER: SARA STOREY REFRESHED DATA ANALYSES – PETER RODERICK ongoing monitoring of current controls Analysis on 'York's changing population' including projections for population numbers and impact on health and care has been published on the JSNA website. (Peter Roderick) 31/12/2025 |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|--|------------------|--------------|---|----------------|------------|---------------------|------------------------|
| <p>disability or living with dementia is not matched by an adjustment in the way services are delivered to include and cater for the needs of these cohorts</p> <p>Demographic change in the working age population meaning workforce supply unable to meet workforce demand</p> <p>Changes to the costs of externally commissioned services related to increased land and property values</p> | <p>The council may experience a reputational impact if services are not delivered to a good standard</p> <p>Risk of legal challenge, with very significant consequences if statutory duties are not met, up to and including government intervention; criminal prosecution; civil challenge; and or financial sanctions.</p> <p>The ability to steer, shape, signal and manage the external care provider market is impeded where the council-commissioned share of that market reduces, for example where the self-funded share increases.</p> <p>Inability to recruit workers in key service areas in sufficient numbers to meet demands e.g. care and support workers</p> | | | <p>Ongoing analysis of the Local Plan and Major development projects demographic data to determine the impact on all CYC services.</p> <p>Partnership working to identify ways to make best use of the 'York pound' where other key organisations in the city or region have a mutual interest in preventing or reducing need and in working together to meet need more efficiently and more effectively (such as the combined authority; health partners; education providers; voluntary sector organisations; and private providers of health and care services).</p> <p>Impact assessment and analysis included as part of every formal decision, to assess the likely effect for people in specific groups or with specific needs in the city.</p> <p>Prioritisation of funding towards meeting statutory duties, to reduce legal risks and risks of harm to people</p> <p>A whole system, whole council approach to supporting people in York to live as independently as possible, for as long as possible.</p> | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| | | Orange | Orange | Data analysis to inform modelling of demand, forecasting and budget setting for key services | Orange | Orange | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

KCR 5 SAFEGUARDING: A vulnerable child or adult with care and support needs is not protected from harm. Ensuring that vulnerable adults and children in the city are safe and protected is a key priority for the council. The individual, organizational and reputational implications of ineffective safeguarding practice are acute.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|---|------------------|--------------|--|----------------|------------|---------------------|--|
| <p>Failure to protect a child or vulnerable adult from death or serious harm (where service failure is a factor)</p> <p>Poor outcome from statutory inspection (Ofsted) or assessment (CQC).</p> <p>Supply failure within the national care market for children's placements following OFSTED introduction for ages 16-17</p> | <p>Vulnerable person not protected</p> <p>Children's serious case review or lessons learned exercise</p> <p>Safeguarding adults review</p> <p>Reputational damage</p> <p>Serious security risk</p> <p>Financial implications, such as compensation payments</p> <p>Financial and resource implications of an increase in demand as a result of shortage in supply of placements</p> <p>Financial investment required as a result of a failed inspection</p> | Probable | Major (20) | <p>Safeguarding sub groups</p> <p>Multi agency policies and procedures</p> <p>Specialist safeguarding cross sector training</p> <p>Quantitative and qualitative performance management</p> <p>Reporting and governance to lead Member, Chief Executive and Scrutiny</p> <p>Annual self assessment, peer challenge and regulation</p> <p>Audit by Veritau of Safeguarding Adults processes</p> <p>Children's and Adults Safeguarding Boards (LSCB & ASB)</p> <p>Ongoing inspection preparation & peer challenge</p> <p>Local and Regional Data analysis</p> <p>National Prevent process</p> <p>DBS checks and re-checks</p> | Possible | Major (19) | No change | <p>RISK OWNERS: Sara Storey & Martin Kelly</p> <p>No current actions – ongoing monitoring of current controls</p> |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| | | High | High | <p>Effectively resourced and well managed service, supported by robust workforce strategy and clear practice model</p> <p>Effective recruitment to senior roles with expert assessment contributing to the process</p> <p>Annual Safeguarding Board annual plan</p> <p>Controls implemented from peer review action plan</p> <p>Chief Officer Group which brings together Chief Officers from relevant organisations in relation to safeguarding eg police, CYC</p> <p>Children's Social Care records system is upgraded. This is monitored by a project board.</p> <p>Ongoing work to ensure capacity is assured to enable any increase in demand to be met after introduction of new OFSTED requirements in children's care homes</p> <p>Use of different methods of contact methods for vulnerable children, such as facetime, alongside working with the DoE and Ofsted</p> <p>Improvement Plan for Children's social care in place since 2020</p> | Medium | Medium | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| | | Orange | Orange | <p>Ambition and Assurance Board oversight of ambition plan for adult social care</p> <p>Improvement Plan for Adult Social Care to address current budget pressures in place May 2021</p> <p>Increasing internal placement options with York by developing LA operated residential care</p> <p>Increasing targeted advertising to attract Foster Carers and increase capacity</p> <p>Adults Safeguarding Board Manager is in post</p> | Orange | Orange | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

KCR 6 HEALTH AND WELLBEING: Failure to protect the health of the local population from preventable health threats through preventable control measures.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|---|------------------|--------------|---|----------------|---------------|---------------------|---|
| <p>Failure to protect the health of citizens against preventable disease by ensuring appropriate levels of vaccination, immunisation and screening.</p> <p>Failure to ensure there are plans in place to respond to wide-scale impacts on the health of citizens from future pandemics, infectious diseases, new and emerging drug trends, environmental hazards and the health impacts of adverse weather impacts</p> <p>Infectious disease outbreaks, rising cost of living, healthcare service pressures eg waiting lists and wider societal changes could adversely impact health.</p> <p>Demand for early intervention and prevention services which aim to improve and protect health could outstrip supply</p> | <p>Likelihood of mass disease outbreaks</p> <p>Risk to life of chemical, biological or radiological hazard</p> <p>Late diagnosis & delay in treatment of health conditions that could be prevented through eg healthier lifestyles and / or healthier living, identified earlier through e.g. routine screening, or prevented through e.g. vaccination</p> <p>Reduction in life expectancy and quality of life</p> <p>Increase in health inequalities between population groups in the city</p> | Probable | Major (20) | <p>York Health Protection Committee is established with good engagement with partners locally and regionally.</p> <p>The Health Protection Committee will produce an Annual Health Protection Report for CYC Executive to approve</p> <p>Health protection governance arrangements are subject to regular inspection through the internal audit cycle.</p> <p>Emergency Preparedness arrangements including NYLRF arrangements, plans and exercises</p> <p>Mass vaccination programme for flu and Covid 19</p> <p>The 2022-2032 Health and Wellbeing Strategy sets 10 clear population health goals to improve health and the conditions which create health</p> <p>Climate change mitigation and adaptation programme</p> <p>Ongoing Public Health grant assurance process with DHSC to ensure the effective use of public health resources.</p> | Probable | Moderate (15) | No change | RISK OWNER: PETER RODERICK No current actions, continuous monitoring of controls. |

ANNEX A**KEY CORPORATE RISK REGISTER AT December 2025**

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|----------------------------|------------------|--------------|----------|----------------|------------|---------------------|------------------------|
| Failure to protect citizens from the adverse health impacts of climate change | | Orange | Orange | | Yellow | Yellow | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 7 CAPITAL PROGRAMME: Failure to deliver the Capital Programme, which includes high profile projects. The capital programme currently has a budget of £427mm from 2025/26 to 2029/30. The schemes range in size and complexity but are currently looking to deliver several high profile projects, including Station Gateway and York Central.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|--------------|--|----------------|---------------|---------------------|--|
| Complex projects with inherent risks | Additional costs and delays to delivery of projects | Probable | Major (20) | Project boards and project plans Regular monitoring of schemes Capital programme reporting to Executive and CMT Financial, legal and procurement support included within the capital budget for specialist support skills Project Management Framework Additional resource to support project management 5 year Capital Strategy approved annually Capital Programmes are sufficiently staffed to deliver to timescales Internal Audit Report gave reasonable assurance on project management arrangements | Probable | Moderate (15) | Slightly worse | RISK OWNER: Debbie Mitchell and Garry Taylor Development of capital strategy for 2026/27 (Debbie Mitchell, 31/01/2026) NEW Review of major capital projects governance to be undertaken, including development of a resource plan (Garry Taylor & Debbie Mitchell 30/09/2025) |
| Large capital programme being managed with reduced resources across the Council | The benefits to the community are not realised Reputational Damage | | | | | | | |
| Increase in scale of the capital programme, due to major projects and lifting of borrowing cap for Housing | Pausing or stopping projects because of the economic climate may create some compliance issues and may mean that existing projects require extensions | | | | | | | |
| Cost pressures due to fluctuating inflation rate (particularly in Construction where 20-30% increases in costs have been seen) | Increased interest rates and the continued impact of inflation will reduce the overall funding available to the Council and may therefore lead to reductions in service levels in some areas. | | | | | | | |
| UK Bank of England interest rate expected to remain higher than previously forecast | | | | | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

KCR 8 COMMUNITIES: Failure to ensure we have resilient, cohesive, communities who are empowered and able to shape and deliver services. The council needs to engage in meaningful consultation with communities to ensure decisions taken reflect the needs of residents, whilst encouraging them to be empowered to deliver services that the council is no longer able to do. Failing to do this effectively would mean that services are not delivered to the benefit of those communities or in partnership.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|--------------|--|----------------|------------|-------------------------|---|
| Failure to effectively engage with the communities we serve | Lack of buy in and understanding from stakeholders | Probable | Major (20) | CMT working collegiately on joint initiatives around Early Intervention and prevention | Possible | Major (19) | Revised date for action | RISK OWNER: Pauline Stuchfield COMPLETED Team being established to cover equalities, access & inclusion. |
| Failure to contribute to the delivery of safe communities | Alienation and disengagement of the community | | | New early help and prevention community based service delivery models in Housing & Communities | | | | |
| Failure to effectively engage stakeholders (including Members and CYC staff) in the decision making process | Relationships with strategic partners damaged Impact on community wellbeing | | | Revised Community Safety Plan Devolved budgets to Ward Committees and delivery of local action plans through ward teams | | | | Updated JD now approved, ready for recruitment. (Pauline Stuchfield 31/12/2024) |
| Failure to manage expectations | Services brought back under council provision – reputational and financial implications | | | Improved information and advice, Customer Strategy and ICT support to facilitate self service | | | | Approval of Community Safety Strategy for 2024/25 |
| Communities are not willing/able to fill gaps following withdrawal of CYC services | Budget overspend Create inefficiencies | | | CYC Staff and Member training and development | | | | (Pauline Stuchfield, 31/03/2025) |
| Lack of cohesion in the planning and use of CYC and partner community based assets in the city including Parish Councils | Services not provided | | | Community Safety Strategy in place for 2023/24 | | | | Neighbourhood Model development Pauline Stuchfield – July 2025 |
| Failure to mitigate wider determinants of health/deprivation impacts | Poor quality provision not focused on need, potential duplication, ineffective use of resources, difficulty in commissioning community services e.g. Library services | | | Community Hubs set up to support residents Roll-out of the Community hubs model as agreed in Oct 2020 | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions | |
|--|---|------------------|--------------|---|----------------|------------|---------------------|------------------------|--|
| such as world conflicts and the cost of living increases | Increase in cost of living and in deprivation | High | High | <p>UPDATED</p> <p>Management structure 2024 bringing Communities and Housing together.</p> <p>Volunteer Centre established through York CVS. 'People Helping People Strategy' being reviewed.</p> <p>Financial Inclusion Steering Group</p> <p>Establishment of Food roles in Communities Team</p> <p>Support for Anti-Racism group provided</p> <p>Maintaining strong relationships with parish councils through their Charter</p> <p>Access Officer role has been established in Communities</p> <p>Interim Financial Inclusion Strategy monitored by the Financial Inclusion Steering Group</p> | Medium | Medium | Medium | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 9 WORKFORCE/ CAPACITY: Reduction in workforce/ capacity may lead to a risk in service delivery. It is crucial that the council remains able to retain essential skills and also to be able to recruit to posts where necessary, during the current periods of uncertainty caused by the current financial climate and transformational change. The health, wellbeing and motivation of the workforce is therefore key in addition to skills and capacity to deliver. In addition, the council must ensure that its key governance frameworks are strong particularly those around statutory compliance for Health & Safety.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|--------------|--|----------------|---------------|---------------------|--|
| The necessity to deliver savings has resulted in a reduced workforce requiring new and specialist skills | Increased workloads for staff Impact on morale and as a result, staff turnover in key services impacting on business continuity and performance | Probable | Major (20) | Workforce Strategy and Action Plan Stress Risk Assessments Annual PDRs Comprehensive Occupational Health provision including counselling. HR policies e.g. whistleblowing, dignity at work | Possible | Moderate (14) | No change | RISK OWNER: Helen Whiting Ongoing action: Review of HR policies to ensure they complement the diverse ways in which our workforce deliver services (Helen Whiting,) 30/06/2026 |
| Recruitment and retention difficulties as the council may be seen as a less attractive option than the private sector | Inability to maintain service standards Impact on vulnerable customer groups | | | Development of coaching/ mentoring culture to improve engagement with staff | | | | Implementation of the new Workforce Strategy and Action plan from May 2025 (Helen Whiting, 31/03/26) |
| Lack of succession planning | Reputational damage as a current and prospective employer. | | | Corporate Cost Control Group monitoring of absence and performance reporting Apprenticeship task group Agency and Interim Staffing Policies | | | | |
| HR Policies may not be consistent with new ways of working (eg remuneration policy) | Single points of failure throughout the business | | | Absence Management Policies Substance Misuse Policy A Workplace Health & Wellbeing Group has been established with staff & trade union representation which is chaired by the Head of HR. | | | | |
| Uncertainty around long term funding from central government. | . | | | | | | | Ongoing action: Review of employee T&Cs. Progress has started with costing options ahead of discussions with CMT and Trade Unions. |
| Lack of long term funding announcements from central government may impact on staff retention as it creates uncertainty for temporary posts funded by external funding | Impact on the health & wellbeing of staff has been and will be significant and may increase early retirements and leavers. Due to • Remote working (working from home) | | | | | | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|--|------------------|--------------|---|----------------|------------|---------------------|---|
| Reduction in posts due to restructures required to achieve budget savings | <ul style="list-style-type: none"> can have a negative impact on wellbeing. Work life balance – unable to separate work from home due to work being carried out within the home Ongoing vacancies and volume of work in hard to recruit roles | Red | Red | <p>A staff health & wellbeing survey has been undertaken & this is being followed up by staff focus groups.</p> <p>Increase in regulatory compliance to protect the workforce e.g. Health and Safety regulations, working time directives</p> <p>Annual increase in Living wage is applied (although there is no control over this rate and conflicts with NJC rates)</p> <p>Joint Health and Safety Board and regular review of support for staff</p> <p>Improved frequency of informal and formal meetings with Trade Unions to improve communications and relationships</p> <p>Employer benefits package is well established</p> | Yellow | Yellow | | (Helen Whiting, 30/06/2026) |
| Potential strike action impacting on delivery of services. Ongoing school strikes and wider transport strikes also implicate on workforce availability. | | | | | | | | Ongoing action - Implementation of creative recruitment initiatives. (Helen Whiting, 30/06/2026) |
| Lack of qualified workforce (e.g. care staff, HGV drivers) | However many staff may see an increase in their Health & Well Being due to more agile working. Having greater flexibility between work and home life. | Red | Red | | | | | Teckal arrangements resolved from 1 st April 2025, WWY will operate exclusively for CYC (noting other City of York Trading companies will continue to operate for other sectors) |
| Ongoing national skills shortage | | | | | | | | |
| Pay structure issues causing pressure at lower end having knock on impact on middle grades and especially supervisory roles around Grade 5 | More agile and flexible working may also result in increased retention of staff and increase the attraction of candidates for vacant positions. | Red | Red | | | | | |
| Stress sickness absence remains the highest absence reason, importance of managing stress and potential burnout of staff. | Reduction in agency spend is a positive however, a reduced spend will impact on Teckal arrangements for City of York Trading (operating as Work With York) | Red | Red | <p>Annual reminders and voucher provision for flu and covid vaccinations</p> <p>Increased help and awareness of staff wellbeing and mental health; monthly 'make a difference communications' which focuses on wellbeing</p> | Yellow | Yellow | | |
| All LA's have a heightened awareness of the risk of | Financial & reputational impact of successful challenges to T&Cs and claims for equal pay | Red | Red | | | | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|--------------|--|----------------|------------|---------------------|------------------------|
| <p>equal pay claims, following events at Birmingham</p> <p>Serious breach of health and safety legislation</p> <p>Failure to comply with statutory obligations in respect of public safety</p> <p>There continues to be a review of the NJC pay spine as National Living Wage and Living Wage Foundation rates increase, it has an impact on the compression of the grading structure. This in turn has an impact on competitive market rates.</p> | <p>Public and staff safety may be put at risk</p> <p>Possible investigation by HSE</p> <p>Prohibition notices might be served preventing delivery of some services</p> <p>Prosecution with potential for imprisonment if Corporate Manslaughter</p> | Red | Red | <p>Business Continuity Planning to assist with redeployment of staff or reduction of service during times of shortage eg HGV drivers</p> <p>Managers being equipped with the right training to manage and lead teams and workforce plan</p> <p>Review of job descriptions and not one size fits all</p> <p>Retention payments and market supplements agreed for key posts</p> <p>HR Advisory circulars now being issued to managers</p> <p>HR representatives on a number of regional task force groups, including for social care workforce promotion and addressing and considering changing terms and practices to mitigate challenges to equal pay.</p> <p>Corporate Governance Board reviewing EP risk progress on regular basis.</p> <p>Health and Safety monitoring in place</p> <p>Ongoing Health and Safety Training programmes at all levels</p> | Yellow | Yellow | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 10 EXTERNAL MARKET CONDITIONS: Failure to deliver commissioned services due to external market conditions. The financial pressures experienced by contracted services (in particular Adult Social Care providers) as a result of increases due to the cost of living crisis could put the continued operation of some providers at risk. The Council has a duty to ensure that there is a stable/diverse market for social care services delivery to meet the assessed needs of vulnerable adults/children. Some services provided by the Council cannot be provided internally (eg Park and Ride) and must be commissioned. External market conditions such as the number of providers willing to tender for services may affect the Council's ability to deliver the service within budget constraints.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|--------------|--|----------------|---------------|---------------------|---|
| Increases to the national living wage, employers national insurance contributions, and wage inflation in general. | Vulnerable people do not get the services required or experience disruption in service provision | Probable | Major (20) | Clear contract and procurement measures in place and have been further updated | Possible | Moderate (14) | No change | RISK OWNER: SARA STOREY ONGOING ACTION Increase joint working with NHS commissioners to manage market effectively and get best value. |
| Recruitment and retention of staff | Safeguarding risks | | | A clear progression process is now in place together with changes to JDs and HoS posts. Retention and recruitment drives in place to support staff within the council and potential new employees | | | | |
| If failure occurs, the Council may remain responsible for ensuring the needs of those receiving the service continue uninterrupted. | Financial implications: Increased cost of alternative provider Increased cost if number of providers are limited Reputational damage | | | Ongoing review of operating and business models of all key providers and putting further mitigation in place, such as more robust contract monitoring and commissioning some 'enhanced' credit checks. Enhanced contract and quality team in place to work with providers reducing the potential for failure | | | | (Director of Adults & Integration, 30/06/2025) |
| Providers may go out of business as a result of the cumulative effects of the financial challenges | Providers may face short to medium term recruitment issues due to current market conditions, or face an increase in costs which is passed on to the Council | | | CYC investment in extra care OPHs has reduced recruitment pressure | | | | ONGOING ACTION Work with regional commissioning networks, national networks, local providers, and health and care partners to understand, monitor and manage any individual or national provider instability. |
| Many sectors under financial pressure due to cost of living and inflationary pressures (reductions in income or increase in expenditure) | | | | Revised SLA with independent care group and quarterly monitoring meetings with portfolio holders | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|----------------------------|------------------|--------------|---|----------------|------------|---------------------|------------------------|
| Costs and cost of living pressures due to increasing inflation rate Cost pressures due to conflict in Ukraine | | Orange | Orange | <p>Ongoing work with providers to set a York cost of care</p> <p>Local policies in place for provider failure</p> <p>Ongoing attendance at Independent Care Group Provider Conference</p> <p>DASS will have oversight of market sustainability. The appointment of a Head of Commissioning starting in Jan 2023 will co-produce a market position statement with health colleagues and providers</p> <p>Focus on prevention and early support to ensure residents are supported to stay at home for longer</p> <p>Co-producing model of care with people using services and their carers</p> <p>The Council's market position statement is regularly reviewed</p> | Yellow | Yellow | | |

ANNEX A

KEY CORPORATE RISK REGISTER AT December 2025

KCR 11 MAJOR INCIDENTS: Failure to respond appropriately to major incidents. Local Authorities are required by law to make preparations to deal with emergencies. Local Authorities have four main responsibilities in an emergency 1. to support the Emergency Services, 2. to co-ordinate non-emergency organisations, 3. to maintain their own services through a robust Business Continuity Management process, 4. to facilitate the recovery of the community and 5. since 2013 the council also has a statutory duty to protect the health of the population under the Health and Social Care Act 2012 and the transfer of public health responsibilities to local authorities. The Council must ensure that its resources are used to best effect in providing relief and mitigating the effects of a major peacetime emergency on the population, infrastructure and environment coming under its administration. This will be done either alone or in conjunction with the Emergency Services and other involved agencies, including neighbouring authorities.

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|--|---|------------------|-------------------|--|----------------|------------|---------------------|---|
| An uncoordinated or poor response to a major incident such as: <ul style="list-style-type: none"> • Flood • Major Fire • Terrorist Attack • Pandemic | Serious death or injury Damage to property Reputational damage Potential for litigation Potential for corporate manslaughter charges if risks are identified and proposed actions not implemented Reduction in life expectancy and quality of life | Probable | Catastrophic (24) | Emergency planning and Business Continuity Plans in place and regularly reviewed along with regional risk registers Strong partnerships with Police, Fire, Environment Agency and other agencies with principles such as JESIP and METHANE built into the way we work together Support to Regional Resilience forums Support and work in partnership with North Yorkshire local resilience forums Investment in Community Resilience (re Flooding) | Possible | Major (19) | No change | RISK OWNER: Garry Taylor The Terrorism (Protection of Premises) draft bill also known as Martyn's Law, is working its way through parliament. This KCR will need to be reviewed in light of new obligations after that. |
| Failure to protect citizens from the adverse impacts of climate change | | | | | | | | |
| Potential for rolling commercial power outages over winter | | | | | | | | |
| Increasing frequency of extreme weather events | | | | | | | | |
| Radicalisation and emergence of extremism and terrorism | Civil disturbances Risk to community cohesion | | | Work with partners across the city to minimise the risk of a terrorist attack through Protect and Prepare Group and Hostile Vehicle Management projects | | | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---|----------------------------|------------------|--------------|---|----------------|------------|---------------------|------------------------|
| Warning and Informing is a key responsibility of Category 1 responders. It is important therefore that in times of emergency this responsibility is exercised in a timely way, not to do so has the potential to put a communities at risk. | | Red | Red | <p>Development of the local outbreak control plan and a variety of internal recovery strategies</p> <p>Local outbreak prevention, management and response in place</p> <p>Climate change mitigation and adaptation program</p> <p>Regular review and reporting of carbon emissions</p> <p>Carbon reduction and climate change action plan regular updates to Executive/CMT</p> <p>Communications to citizens about steps they can take to reduce impact of climate change</p> <p>Sustainability leads group to encourage city partners to work together to reduce impact of Climate change</p> <p>Communications incident management plans, including outbreak</p> <p>Regular review of emergency and business continuity plans</p> | Orange | Orange | | |

ANNEX A
KEY CORPORATE RISK REGISTER AT December 2025

| Risk Detail (cause) | Implications (consequence) | Gross Likelihood | Gross Impact | Controls | Net Likelihood | Net Impact | Direction of Travel | Risk Owner and Actions |
|---------------------|----------------------------|------------------|--------------|---|----------------|------------|---------------------|------------------------|
| | | Red | Red | <p>Directorate risk registers will include relevant climate change risks</p> <p>Prevent Situational Risk Assessment in place. The York Prevent Local Delivery Group will mitigate risks from radicalisation and report to the Safer York Partnership and the York & North Yorkshire Prevent Partnership Board.</p> <p>New Corporate Emergency Planning Group established improve resilience of the Council and our Communities and provide assurance we are resilient in Integrated Emergency Management* and comply with the Civil Contingencies Act 2004. (*Anticipate, assess, prevent, prepare, respond and recover)</p> <p>The LRF is currently undertaking a review of capabilities linked with risk reviews.</p> | Orange | Orange | | |